

Model State Plan(CSBG)

Program Name: Community Services Block Grant

Grantee Name: Indiana

Report Name: Model State Plan(CSBG)

Report Period: 10/01/2017 to 09/30/2018

Report Status: Saved

Report Sections>

1. CSBG Cover Page (SF-424M)	2
2. Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter	4
3. Section 2: State Legislation and Regulation	5
4. Section 3: State Plan Development and Statewide Goals	6
5. Section 4: CSBG Hearing RequirementsÂ	8
6. Section 5: CSBG Eligible Entities	9
7. Section 6: Organizational Standards for Eligible Entities	11
8. Section 7: State Use of Funds	13
9. Section 8: State Training and Technical Assistance	16
10. Section 9: State Linkages and Communication	18
11. Section 10: Monitoring, Corrective Action, and Fiscal Controls	21
12. Section 11: Eligible Entity Tripartite Board	24
13. Section 12: Individual and Community Eligibility Requirements	25
14. Section 13: Results Oriented Management and Accountability (ROMA) System	26
15. Section 14: CSBG Programmatic Assurances and Information Narrative	28
16. Section 15: Federal CertificationsÂ	31

CSBG Cover Page (SF-424M)

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

COVER PAGE

* 1.a. Type of Submission: Plan	* 1.b. Frequency: Other (2 Year)	* 1.c. Consolidated Application/Plan/Funding Request? Explanation:	* 1.d. Version: Initial
		2. Date Received:	State Use Only:
		3. Applicant Identifier:	
		4a. Federal Entity Identifier:	5. Date Received By State:
		4b. Federal Award Identifier:	6. State Application Identifier:

7. APPLICANT INFORMATION			
* a. Legal Name: Indiana Housing & Community Development Authority			
* b. Employer/Taxpayer Identification Number (EIN/TIN): 35-1485172		* c. Organizational DUNS: 086870479	
* d. Address:			
* Street 1:	30 South Meridian, Suite 1000	* Street 2:	
* City:	Indianapolis	* County:	MARION
* State:	IN	* Province:	
* Country:	United States	* Zip / Postal Code:	46204 -
* e. Organizational Unit:			
Department Name:		Division Name: Community Programs	
* f. Name and contact information of person to be contacted on matters involving this application:			
Prefix:	* First Name: Lauren	Middle Name: D	* Last Name: Perry
Suffix:	Title: Director of Community Programs	Organizational Affiliation: Employee	
* Telephone Number: (317) 234-6977	Fax Number	* Email: laperry@ihcda.in.gov	
* 8a. TYPE OF APPLICANT: A: State Government			
* b. Additional Description:			
* 9. Name of Federal Agency:			
		Catalog of Federal Domestic Assistance Number:	CFDA Title:
10. CFDA Numbers and Titles		93569	Community Services Block Grant
11. Descriptive Title of Applicant's Project			
12. Areas Affected by Funding:			
13. CONGRESSIONAL DISTRICTS OF:			
* a. Applicant 07		b. Program/Project:	
Attach an additional list of Program/Project Congressional Districts if needed.			
14. FUNDING PERIOD:		15. ESTIMATED FUNDING:	
a. Start Date:	b. End Date:	* a. Federal (\$): \$0	b. Match (\$): \$0
* 16. IS SUBMISSION SUBJECT TO REVIEW BY STATE UNDER EXECUTIVE ORDER 12372 PROCESS?			
a. This submission was made available to the State under the Executive Order 12372			

Process for Review on :	
b. Program is subject to E.O. 12372 but has not been selected by State for review.	
c. Program is not covered by E.O. 12372.	
* 17. Is The Applicant Delinquent On Any Federal Debt? <input type="radio"/> YES <input checked="" type="radio"/> NO	
Explanation:	
18. By signing this application, I certify (1) to the statements contained in the list of certifications** and (2) that the statements herein are true, complete and accurate to the best of my knowledge. I also provide the required assurances** and agree to comply with any resulting terms if I accept an award. I am aware that any false, fictitious, or fraudulent statements or claims may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 218, Section 1001) **I Agree <input checked="" type="checkbox"/>	
** The list of certifications and assurances, or an internet site where you may obtain this list, is contained in the announcement or agency specific instructions.	
18a. Typed or Printed Name and Title of Authorized Certifying Official	18c. Telephone (area code, number and extension)
	18d. Email Address
18b. Signature of Authorized Certifying Official	18e. Date Report Submitted (Month, Day, Year)
Attach supporting documents as specified in agency instructions.	

Section 1: CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 Administration for Children and Families
 Community Services Block Grant (CSBG)

Form Approved
 OMB No:0970-0382
 Expires:08/31/2016

SECTION 1

CSBG Lead Agency, CSBG Authorized Official, CSBG Point of Contact, and Official State Designation Letter

1.1. Provide the following information in relation to the lead agency designated to administer CSBG in the State, as required by Section 676(a) of the CSBG Act. The following information should mirror the information provided on the Application for Federal Assistance, SF-424M.

1.1a. Lead agency	Indiana Housing and Community Development Authority		
1.1b. Cabinet or administrative department of this lead agency <i>[Check one option and narrative where applicable]</i>			
Other, describe Community Programs Department			
1.1c. Division, bureau, or office of the CSBG authorized official	Indiana Housing and Community Development Authority		
1.1d. Authorized official of lead agency	Kyleen Welling		
1.1e. Street Address	30 South Meridian, Suite 100		
1.1f. City	Indianapolis	1.1g. State IN	1.1h. Zip 46204
1.1i. Telephone number and extension (317) 234 - 0394 ext.		1.1j. Fax number: (317) 232 - 7778	
1.1k. Email address kwelling@ihcda.in.gov		1.1l. Lead agency website www.ihcda.in.gov	
1.2. Provide the following information in relation to the designated State CSBG point of contact			
1.2a. Agency name	Indiana Housing and Community Development Authority		
1.2b. Name of the point of contact	Kyleen Welling		
1.2c. Street address	30 South Meridian		
1.2d. City	Indianapolis	1.2e. State IN	1.2f. Zip 46204
1.2g. Point of contact telephone number (317) 234 - 0394 ext.		1.2h. Fax number (317) 232 - 7778	
1.2i. Point of contact email address KWelling@ihcda.IN.gov		1.2j. Point of contact agency website www.ihcda.in.gov	
1.3. Designation Letter: <i>Attach the State's official CSBG designation letter. If either the governor or designated agency has changed, update the letter accordingly.</i>			

Section 2: State Legislation and Regulation

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 2 State Legislation and Regulation

2.1. CSBG State Legislation:

Does the State have a statute authorizing CSBG? Yes No

2.2. CSBG State Regulation:

Does the State have regulations for CSBG? Yes No

2.3. If yes was selected in item 2.1 and/or 2.2, attach a copy (or copies) of legislation and/or regulations or provide a hyperlink(s), as appropriate.

Indiana Code reference for CSBG Authorization: <http://iga.in.gov/legislative/laws/2016/ic/titles/004/articles/004/chapters/033/> Indiana Code reference for State Regulation: <http://iga.in.gov/legislative/laws/2016/ic/titles/012/articles/014/chapters/023/> IC 4-4-33 Chapter 33. Miscellaneous Community Development Programs IC 4-4-33-1 Administration by lieutenant governor Sec. 1. The lieutenant governor shall administer the following: (1) The Housing Assistance Act of 1937 (42 U.S.C. 1437). (2) Community services programs, including the Community Services Block Grant under 42 U.S.C. 9901 et seq. (3) Home energy assistance programs, including the Low Income Home Energy Assistance Block Grant under 42 U.S.C. 8621 et seq. (4) Weatherization programs, including weatherization programs and money received under 42 U.S.C. 6851 et seq. (5) Migrant and farm worker programs and money under 20 U.S.C. 6391 et seq., 29 U.S.C. 49 et seq., and 42 U.S.C. 1397 et seq. (6) Emergency shelter grant programs and money under 42 U.S.C. 11371 et seq. (7) Shelter plus care programs and money under 42 U.S.C. 11403 et seq. As added by P.L.181-2006, SEC.12. Amended by P.L.156-2011, SEC.1. Indiana Code 2015 IC 12-14-23 Chapter 23. Community Action Agencies; Community Action Boards. Defines Community Agencies and their functions.

2.4. State Authority:

Select a response for each question about the State statute and/or regulations authorizing CSBG:

2.4a. Did the State legislature enact authorizing legislation, or amendments to an existing authorizing statute, last year? Yes No

2.4b. Did the State establish or amend regulations for CSBG last year? Yes No

2.4c. Does the State statutory or regulatory authority designate the bureau, division, or office in the State government that is to be the State administering agency? Yes No

Section 3: State Plan Development and Statewide Goals

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 3 State Plan Development and Statewide Goals

3.1. CSBG Lead Agency Mission and Responsibilities:

Briefly describe the mission and responsibilities of the State agency that serves as the CSBG Lead Agency.

To provide housing opportunities, promote self-sufficiency, and strengthen communities.

3.2. State Plan Goals:

Describe the State's CSBG-specific goals for State administration of CSBG under this State Plan.

(Note: This item is associated with State Accountability Measure 1Sa(i) and may pre-populate the State's Annual Report form.)

The goals of IHCD and the Community Action Network in Indiana are to improve the lives of citizens through efforts to enhance employment, promote education, instruct better income management, improve housing, ensure the availability of emergency services, improve good nutrition, provide linkages to other service providers, promotion of self-sufficiency and improved health. IHCD's main goals for the following year include a revamped Training and Technical Assistance Program, an expansion on innovation in programs and services, implementation of a new client database management system, and a new local and statewide Community Needs Assessment. The focus is on setting goals, strategies and programs to fit the needs of citizens at the local level. To assist the CAAs with developing these strategies, goals, and programs IHCD conducts a Needs Assessment every three years for each CAA. In addition IHCD, requires each CAA to determine what program or services their citizens will receive in the annual plan. IHCD reviews each CAA's plan for the following year and accompanying budget and provides feedback.

3.3. State Plan Development:

Indicate the information and input the State accessed to develop this State Plan.

3.3a. Analysis of [Check all that apply and narrative where applicable]

- State Performance Indicators and/or National Performance Indicators (NPIs)
- U.S. Census data
- State performance management data (e.g., accountability measures, ACSI survey information, and/or other information from annual reports)
- Other data [describe]
- Eligible entity community needs assessments
- Eligible entity plans
- Other information from eligible entities (e.g., State required reports) [describe]

3.3b. Consultation with [Check all that apply and narrative where applicable]

- Eligible entities (e.g. meetings, conferences, webinars; not including the public hearing)
- State community action association and regional CSBG T&TA providers
- State partners and/or stakeholders (describe) Indiana Department of Workforce Development
- National organizations (describe)
- Federal Office of Community Services
- Other (describe)

3.4. Eligible Entity Involvement

3.4a. Describe the specific steps the State took in developing the State Plan to involve the eligible entities.

(Note: This information is associated with State Accountability Measures 1Sa(ii) and may pre-populate the State's annual report form)

IHCD posted the State Plan on our website so that all CAAs could make comments and ask questions. In addition a copy of the State Plan was emailed to all the Executive Directors of each CAA asking that they circulate with their Tripartite Board to further obtain commentary. For the second straight year, Indiana will send the plan to all CAA Executive Directors to be reviewed with the tri-partite boards.

If this is the first year filling out the automated State Plan, skip the following question.

3.4b. Performance Management Adjustment:

How has the State adjusted State Plan development procedures under this State Plan, as compared to past plans, in order

- 1) to encourage eligible entity participation and
- 2) to ensure the State Plan reflects input from eligible entities?

Any adjustment should be based on the State's analysis of past performance in these areas, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

(Note: This information is associated with State Accountability Measures 1Sb(i) and (ii) and may pre-populate the State's annual report form)

For the PY2018 State Plan, IHCDa circulated the State Plan to the CAA Executive Directors. To increase circulation for PY2017, IHCDa is not only sending the State Plan to the CAA Executive Directors, but also asking them to circulate among their Tripartite Board for additional commentary of tripartite representation. Through open communication and attendance at the State Association's CSBG Committee, made up of CAA representatives, IHCDa was able to receive feedback that resulted in several changes regarding the frequency and criteria involved in IHCDa's CSBG monitoring efforts.

If this is the first year filling out the automated State Plan, skip the following question.

3.5. Eligible Entity Overall Satisfaction:

*Provide the State's [target](#) for eligible entity Overall Satisfaction during the performance period: **65***

(Note: Item 3.5 is associated with [State Accountability Measure 8S](#) and may pre-populate the State's annual report form)

Section 4: CSBG Hearing Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 Administration for Children and Families
 Community Services Block Grant (CSBG)

Form Approved
 OMB No: 0970-0382
 Expires:08/31/2016

SECTION 4 CSBG Hearing Requirements

4.1. Public Inspection:

Describe how the State made this State Plan, or revision(s) to the State Plan, available for public inspection, as required under Section 676(e)(2) of the Act.

The plan will be posted to the IHCD website and a copy placed at the IHCD front desk. Additionally, for the second straight year, a link to the State Plan draft will be sent to IHCD's list serve and to all CAA Executive Directors for review. The Executive Directors will be instructed to circulate the draft plan to their Tripartite Boards for comments.

4.2. Public Notice/Hearing:

Describe how the State ensured there was sufficient time and statewide distribution of notice of the public hearing(s) to allow the public to comment on the State Plan, as required under Section 676(a)(2)(B) of the CSBG Act.

As our 2017 Public Notice/Hearing was approved for a 2 year planning period, there will be no public hearing for this year.

4.3. Public and Legislative Hearings:

Specify the date(s) and location(s) of the public and legislative hearing(s) held by the designated lead agency for this State Plan, as required under Section 676(a)(2)(B) and Section 676(a)(3) of the Act.

(If the State has not held a public hearing in the prior fiscal year and/or a legislative hearing in the last three years, provide further detail under Item 4.4.).

	Date	Location	Type of Hearing [Select an option]
1	08/19/2016	30 S. Meridian Street, Suite 1000, Indianapolis, IN 46204	Public
2	08/19/2016	30 S. Meridian Street, Suite 1000, Indianapolis, IN 46204	Legislative

4.4. Attach supporting documentation or a hyperlink for the public and legislative hearings.

Public Notice for CSBG State Plan FFY 2017: <http://www.in.gov/ihcda/2358.htm> See August 1, 2016

Section 5: CSBG Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 5 CSBG Eligible Entities

5.1. CSBG Eligible Entities:

In the table below, list each eligible entity in the State, and indicate public or private, the type(s) of entity, and the geographical area served by the entity. (This table should include every CSBG Eligible Entity to which the State plans to allocate 90 percent funds, as indicated in the table in item 7.2. Do not include entities that only receive remainder/discretionary funds from the State or tribes/tribal organizations that receive direct funding from OCS under Section 677 of the CSBG Act.)

Types of Entities include Community Action Agency, Limited Purpose Agency, Local Government Agency, Migrant or Seasonal Farmworker Organization, Tribe or Tribal Organization, and Other

#	CSBG Eligible Entity	Public or Nonprofit	Type of Agency [choose all that apply]	Geographical Area Served by county (Provide all counties)	Brief Description of "Other"
1	Area IV on Aging and Community Services, Inc.	Nonprofit	Community Action Agency (CAA)	Carroll, Clinton, Tippecanoe and White	
2	Area V on Aging and Community Services, Inc.	Nonprofit	Community Action Agency (CAA)	Cass, Howard, Miami, Tipton and Wabash	
3	Community Action of Greater Indianapolis	Nonprofit	Community Action Agency (CAA)	Boone, Hamilton, Hendricks and Marion	
4	Community Action of Northeast Indiana	Nonprofit	Community Action Agency (CAA)	Allen, Dekalb, Lagrange, Noble, Steuben and Whitley	
5	Community Action Program of Evansville	Nonprofit	Community Action Agency (CAA)	Gibson, Posey and Vanderburgh	
6	Community Action Program of Western Indiana	Nonprofit	Community Action Agency (CAA)	Benton, Fountain, Montgomery, Parke, Vermillion and Warren	
7	Community Action of Southern Indiana	Nonprofit	Community Action Agency (CAA)	Clark, Floyd and Harrison	
8	Community and Family Services	Nonprofit	Community Action Agency (CAA)	Adams, Blackford, Huntington, Jay, Wells and Randolph	
9	Central Indiana Community Action Program (JobSource)	Public	Community Action Agency (CAA)	Grant and Madison	JobSource also has a non-profit arm to the entity.
10	Human Services	Nonprofit	Community Action Agency (CAA)	Bartholomew, Decatur, Jackson, Johnson and Shelby	
11	Hoosier Uplands Economic Development Corporation	Nonprofit	Community Action Agency (CAA)	Lawrence, Martin, Orange and Washington	
12	Interlocal Community Action Program	Nonprofit	Community Action Agency (CAA)	Delaware, Hancock, Henry, Rush, Fayette and Wayne	
13	Lincoln Hills Development Corporation	Nonprofit	Community Action Agency (CAA)	Crawford, Perry and Spencer	
14	North Central Community Action Agency	Nonprofit	Community Action Agency (CAA)	LaPorte, Pulaski and Starke	
15	Northwest Indiana Community Action Agency	Nonprofit	Community Action Agency (CAA)	Jasper, Lake, Newton and Porter	
16	Ohio Valley Opportunities	Nonprofit	Community Action Agency (CAA)	Jefferson, Jennings and Scott	
17	Pace Community Action Agency	Nonprofit	Community Action Agency (CAA)	Daviess, Greene, Knox and Sullivan	
18	Real Services	Nonprofit	Community Action Agency (CAA)	Elkhart, Fulton, Kosciusko, Marshall and St. Joseph	
19	South Central Community Action Program	Nonprofit	Community Action Agency (CAA)	Brown, Monroe, Morgan and Owen	
20	Southeastern Indiana Economic Opportunity Corporation	Nonprofit	Community Action Agency (CAA)	Dearborn, Franklin, Ohio, Ripley, Switzerland and Union	
21	Dubois-Pike-Warrick Economic Opportunity Corporation	Nonprofit	Community Action Agency (CAA)	Dubois, Pike and Warrick	
22	Western Indiana Community Action Agency	Nonprofit	Community Action Agency (CAA)	Clay, Putnam and Vigo	

5.2 Total number of CSBG eligible entities [22](#)

5.3 Changes to Eligible Entities List:

Has the list of eligible entities under item 5.1 changed since the State's last State Plan submission? Yes No

If yes, please briefly describe the changes.

Section 6: Organizational Standards for Eligible Entities

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 6 Organizational Standards for Eligible Entities

Note: Reference IM 138, *State Establishment of Organizational Standards for CSBG Eligible Entities*, for more information on Organizational Standards. Click [HERE](#) for IM 138.

6.1. Choice of Standards:

Check the box that applies. If using alternative standards

- a) attach the complete list of alternative organizational standards,
- b) describe the reasons for using alternative standards, and
- c) describe how the standards are at least as rigorous as the COE-developed standards.

The State will use the CSBG Organizational Standards Center of Excellence (COE) organizational standards (as described in IM 138)

6.2. If the State is using the COE-developed organizational standards, does the State propose making a minor modification to the standards, as described in IM 138? Yes No

6.2a. If yes was selected in item 6.2, describe the State's proposed minor modification to the COE-developed organizational standards, and provide a rationale.

The State of Indiana utilizes the basic foundation of COE as presented in IM-138 when developing the Comprehensive Administrative Review (CAR) Tool for monitoring CAAs. Some wording found in IM-138 has been customized to reflect how we communicate with our CAAs. Indiana has, also, expanded the financial accountability measurer for our CAAs and added standards that address our past monitoring issues.

6.3 How will/has the State officially adopt(ed) organizational standards for eligible entities in the State in a manner consistent with the State's administrative procedures act? If "Other" is selected, provide a timeline and additional information, as necessary. [Check all that apply and narrative where applicable]

- Regulation
- Policy
- Contracts with eligible entities
- Other, describe:

Indiana requires on-site monitoring as well as annual plan that require entities to approve compliance.

6.4. How will the State assess eligible entities against organizational standards, as described in IM 138? [Check all that apply.]

- Peer-to-peer review (with validation by the State or State-authorized third party)
- Self-assessment (with validation by the State or State-authorized third party)
- Self-assessment/peer review with State risk analysis
- State-authorized third party validation
- Regular, on-site CSBG monitoring
- Other

6.4a. Describe the assessment process.

Indiana conducts a comprehensive administrative review at a minimum of every 3 years for each of the CAAs. Indiana has utilized a Comprehensive Administrative Review (CAR) monitoring tool that includes organizational standards, and we are now using a Risk Assessment Tool that may result in different frequencies and follow up steps to monitoring. Additionally, during onsite visits, the review also includes interviews with Board Members, staff, partners, and community leaders. Exit interviews are held with Executive Directors and/or appropriate staff, and review reports are distributed within 30 days from the exit interview. The agencies are given 30 days to respond. Follow-up is completed. Agencies are monitored through the information submitted in their annual plan. The ROMA assessment will be used in conjunction with the CAR and other program reviews to assess the status of the agency's administration and major programs. When a new agency is designated, IHEDA will conduct an onsite review at the end of the entity's first year of service. Follow-up reviews including return visits occur when appropriate and may have different frequencies depending upon the outcome scoring of the risk assessment and/or if there are less favorable outcomes from the site visit on goals and requirements. This may be to verify compliance with recommendations made on CAR reviews or Annual Plan submissions. Other reviews are conducted as appropriate including reviews of CAAs with programs that have had other federal, state or local grants terminated. If we implement any material procedure changes to our monitoring plan, we will submit a State Plan revision. If a CAA does not respond within the 30 days, IHEDA monitor will make a reminder email or call to the CAA Executive Director. IHEDA makes every effort to work with CAAs in the event there are challenges with responding or with sufficient responses. If a response is received that is incomplete or unacceptable, a letter is sent outlining the unacceptable portions and providing detailed guidance to complete their response. In addition, timely report submission will be included in the monitoring report for 2017-18. Which means that not submitting any requested report on time will affect a Monitoring Report Score. Agencies also complete a self-assessment and IHEDA conducts a risk assessment of each CAA. No peer review is conducted however.

6.5. Will the State make exceptions in applying the organizational standards for any eligible entities due to special circumstances or organizational characteristics, as described in IM 138 Yes No

6.5a. If yes was selected in item 6.5, list which eligible entities the State will exempt from meeting organizational standards, and provide a description and a justification for each exemption.

If this is the first year filling out the automated State Plan, skip the following question.

6.6. Performance Target: What percentage of eligible entities in the State does the State expect will meet all the State-adopted organizational standards in the next year? (Provide as a percentage) **100%**

Note: This information is associated with [State Accountability Measures 6Sa](#) and may prepopulate the State's annual report form.

Section 7: State Use of Funds

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 7 State Use of Funds

Eligible Entity Allocation (90 Percent Funds) [Section 675C(a) of the CSBG Act]

7.1. Formula:

Select the method (formula) that best describes the current practice for allocating CSBG funds to eligible entities.

Formula with Variables

7.1a. Does the State statutory or regulatory authority specify the terms or formula for allocating the 90 percent funds among eligible entities? Yes No

7.2. Planned Allocation:

Specify the planned allocation of 90 percent funds to eligible entities, as described under Section 675C(a) of the CSBG Act.

The estimated allocations may be in dollars or percentages. For each eligible entity receiving funds, provide the Funding Amount in either dollars (columns 2 and 4) or percentage (columns 3 and 5) for the fiscal years covered by this plan.

Planned CSBG 90 Percent Funds

	CSBG Eligible Entity	Year One Funding Amount \$	Year One Funding Amount %	Year Two Funding Amount \$	Year Two Funding Amount %
1	Area IV on Aging and Community Services, Inc.	\$484,135	0.00%	\$484,135	0.00%
2	Area V on Aging and Community Services, Inc.	\$607,244	0.00%	\$607,244	0.00%
3	Community Action of Greater Indianapolis	\$1,437,757	0.00%	\$1,437,757	0.00%
4	Community Action of Northeast Indiana	\$735,316	0.00%	\$735,316	0.00%
5	Community Action Program of Evansville	\$346,800	0.00%	\$346,800	0.00%
6	Community Action Program of Western Indiana	\$360,546	0.00%	\$360,546	0.00%
7	Community Action of Southern Indiana	\$362,515	0.00%	\$362,515	0.00%
8	Community and Family Services	\$387,696	0.00%	\$387,696	0.00%
9	Central Indiana Community Action Program (JobSource)	\$388,169	0.00%	\$388,169	0.00%
10	Human Services	\$462,779	0.00%	\$462,779	0.00%
11	Hoosier Uplands Economic Development Corporation	\$304,783	0.00%	\$304,783	0.00%
12	Interlocal Community Action Program	\$1,048,683	0.00%	\$1,048,683	0.00%
13	Lincoln Hills Development Corporation	\$164,063	0.00%	\$164,063	0.00%
14	North Central Community Action Agency	\$262,443	0.00%	\$262,443	0.00%
15	Northwest Indiana Community Action Agency	\$1,261,632	0.00%	\$1,261,632	0.00%
16	Ohio Valley Opportunities	\$338,726	0.00%	\$338,726	0.00%
17	Pace Community Action Agency	\$333,306	0.00%	\$333,306	0.00%
18	Real Services	\$809,254	0.00%	\$809,254	0.00%
19	South Central Community Action Program	\$517,542	0.00%	\$517,542	0.00%
20	Southeastern Indiana Economic Opportunity Corporation	\$405,379	0.00%	\$405,379	0.00%
21	Dubois-Pike-Warrick Economic Opportunity Corporation	\$183,810	0.00%	\$183,810	0.00%
22	Western Indiana Community Action Agency	\$346,100	0.00%	\$346,100	0.00%
23		\$0	0.00%	\$0	0.00%
Total		\$11,548,678	0.00%	\$11,548,678	0.00%

7.3. Distribution Process:

Describe the specific steps in the State's process for distributing 90 percent funds to the eligible entities and include the number of days each step is expected to take; include information about State legislative approval or other types of administrative approval (such as approval by a board or commission).

During 2018 the Community Services Block Grant funds will be allocated as follows: CAAs Allocation 90%; IHCD Admin 5%; CSBG-D Training Technical and Special Projects 5%. Total 100%. Step 1 (3 days): Total Allocation Received DHHS Minus 5 percent for State Administrative Funds; Minus 5 percent for State Discretionary Funds. Step 2 (3 days): Calculate the Basic and Award Allocation to CAAs X 35 percent equals the base amount; Total Allocation to CAAs X 65 percent equals the award allocations based on 125 percent of poverty by county. Step 3 (3 days): Calculate the Base Amount by agency base amount (total 35 percent) (minus) (\$50,000 times 22 agencies) Step 4 (3 days): Management Review of Total CAA Allocation Step 5 (3 days) IHCD Executive Director Review of Total Allocation (Approval Request) and award disbursement. Grant agreements period of performance follows calendar year.

7.4. Distribution Timeframe:
Does the State plan to make funds available to eligible entities no later than 30 calendar days after OCS distributes the Federal award? Yes No

7.4a. If no, describe State procedures to ensure funds are made available to eligible entities consistently and without interruption.

Note: Item 7.4 is associated with State Accountability Measure 2Sa and may prepopulate the State's annual report form.

If this is the first year filling out the automated State Plan, skip the following question.

7.5. Performance Management Adjustment:
How is the State improving grant and/or contract administration procedures under this State Plan as compared to past plans? Any improvements should be based on analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any improvements, provide further detail.

Note: This information is associated with State Accountability Measure 2Sb and may prepopulate the State's annual report form.

While IHCD has not received 2017's ACSI score, IHCD has reviewed the 2016 Eligible Entities Satisfaction with the States Survey and identify that key areas for improvement included more communication on the State Plan, improve communication of the Training and Technical Assistance opportunities, provide tips for efficiency, and increase communication on our Comprehensive Administrative Review (CAR). As a result, IHCD Program staff has increased communication of T/TA opportunities that are both locally and nationally delivered. IHCD Program Staff is providing tips during CAR monitoring site visits on how to increase efficiency, as well as, communicating training opportunities and other ways to improve efficiency, when available. We are, also, planning on hosting a webinar in advance of the monitoring season to help CAAs obtain insight even earlier for their upcoming monitoring. Additional opportunities are being reviewed to better communicate and provide assistance to our CAAs.

Administrative Funds [Section 675C(b)(2) of the CSBG Act]

7.6. What amount of State CSBG funds does the State plan to allocate for administrative activities, under this State plan? The estimate may be in dollars or a percentage 5 \$ %

7.7. How many State staff positions will be funded in whole or in part with CSBG funds under this State Plan? 29

7.8. How many State Full Time Equivalents (FTEs) will be funded with CSBG funds under this State Plan? 1

Remainder/Discretionary Funds [Section 675C(b) of the CSBG Act]

7.9. Does the State have remainder/discretionary funds? Yes No

If yes was selected, describe how the State plans to use remainder/discretionary funds in the table below.

Note: This response will link to the corresponding assurance, Item 14.2.

For each allowable use of remainder funds in the table below (rows a through h), enter the State's planned level of funding, if any, either in dollars or percentage, and provide a brief description. Activities funded under row a, training and technical assistance, do not require a description, as that is provided under section 8 of this State plan. Activities funded under rows b and c, are described under section 9, State Linkages and Communication, but a State may enter additional information in this table as well. The State must describe "innovative programs/activities by eligible entities or other neighborhood groups," under row f, even if the State does not allocate discretionary funds to this activity. This activity is required by section 676(b)(2) of the CSBG Act, assurance 14.2 If a funded activity fits under more than one category in the table, allocate the funds among the categories. For example, if the State provides funds under a contract with the State Community Action association to provide training and technical assistance to eligible entities and to create a statewide data system, the funds for that contract should be allocated appropriately between row a and row c. If allocation is not possible, the State may allocate the funds to the main category with which the activity is associated.

Note: This information is associated with State Accountability Measures 3Sa and may pre-populate the State's annual report form

Use of Remainder/Discretionary Funds(SeeSection 675C(b)(1) of the CSBG Act)

Remainder/Discretionary Fund Uses	Year One Planned \$	Year One Planned %	Year Two Planned \$	Year Two Planned %	Brief description of services/activities
a. Training/technical assistance to eligible entities	\$180,000.00	0.00%	\$180,000.00	0.00%	
b. Coordination of State-operated programs and/or local programs	\$0.00	0.00%	\$0.00	0.00%	There is no cell for (a) above, so Indiana is providing that description here. The \$180,000 will be used to conduct a Needs Assessment to identify Training and Technical Assistance needs throughout the CAA network. Training will cover topics such as leadership, federal compliance, OMB, organizational capacity, program evaluation, fund development, and financial management.
c. Statewide coordination and communication among eligible entities	\$0.00	0.00%	\$0.00	0.00%	
d. Analysis of distribution of CSBG funds to determine if targeting greatest need	\$0.00	0.00%	\$0.00	0.00%	
e. Asset-building programs	\$0.00	0.00%	\$0.00	0.00%	
f. Innovative programs/activities by eligible entities or other neighborhood groups	\$300,000.00	0.00%	\$100,000.00	0.00%	Request for Proposal will be released for Innovative ideas to improve the lives of citizens in poverty.

g. State charity tax credits	\$0.00	0.00%	\$0.00	0.00%
h. Other activities, specify in column 6	\$0.00	0.00%	\$200,000.00	0.00%
Total	\$480,000.00	0.00%	\$480,000.00	0.00%

7.10. What types of organizations, if any, does the State plan to work with (by grant or contract using remainder/discretionary funds) to carry out some or all of the activities in table 7.9. [Check all that apply and narrative where applicable]

CSBG eligible entities (if checked, include the expected number of CSBG eligible entities to receive funds) **22**

Other community-based organizations

State Community Action association

Regional CSBG technical assistance provider(s)

National technical assistance provider(s)

Individual consultant(s)

Tribes and Tribal Organizations

Other

None (the State will carry out activities directly)

Note: This response will link to the corresponding CSBG assurance, item 14.2.

If this is the first year filling out the automated State Plan, skip the following question.

7.11. Performance Management Adjustment:

How is the State adjusting the use of remainder/discretionary funds under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sb, and may pre-populate the State's annual report form.

The 2018 Discretionary funds will support three target areas. The first target area will be providing Training and Technical Assistance for the CAAs on such topics as: leadership, federal compliance, OMB, organizational capacity, program evaluation, fund development and financial management. The second target area will be in Innovation Grant initiatives designed to strengthen self sufficiency for low income citizens. The third target area will support a Community Needs Assessment for each CAA. The Community Needs Assessment was last completed during the 2014-2015 program years. In FY2018 the Needs Assessment is an additional target area. All other target areas are similar to FY2017. No feedback was received from the public during public or legislative hearing concerning adjustments.

Section 8: State Training and Technical Assistance

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 8 State Training and Technical Assistance

8.1. Describe the State's plan for delivering CSBG-funded training and technical assistance to eligible entities under this State Plan by completing the table below. Add a row for each activity: indicate the timeframe; whether it is training, technical assistance or both; and the topic.
(CSBG funding used for this activity is referenced under item 7.9(a), Remainder/Discretionary Funds.)

Note: This information is associated with State Accountability Measure 3Scand may pre-populate the State's annual report form.

Training and Technical Assistance

	Fiscal Year (Y) Quarter (Q) / Timeframe	Training, Technical Assistance, or Both	Topic	Brief Description of "Other"
1	Ongoing / Multiple Quarters	Technical Assistance	Other	Topic depends on CAA Needs
2	FY1-Q1	Training	Other	Revenue Diversification
3	FY1-Q1	Training	Strategic Planning	
4	FY2-Q1	Training	Other	Revenue Generation
5	FY2-Q1	Training	Other	Financial Management Tools
6	FY2-Q1	Training	Other	OMB Circulars Compliance
7	FY2-Q2	Training	Other	Staff Fiscal Responsibility
8	FY2-Q1	Training		Leadership Fiscal Responsibilities
9	FY2-Q1	Training	Other	Donor Cultivation and Relationship Building
10	FY2-Q2	Training	ROMA	
11	FY1-Q4	Training	Governance/Tripartite Boards	
12	FY1-Q4	Training	Monitoring	
13	FY2-Q2	Training	Strategic Planning	
14	FY2-Q1	Training	Communication	
15	FY2-Q2	Training	Other	Process Improvement
16	FY2-Q3	Training	Technology	
17	FY2-Q3		Other	Building Relationships with Community Stakeholders

8.1a. The planned budget for the training and technical assistance plan (as indicated in the Remainder/Discretionary Funds table in item 7.9) **\$960,000**

If this is the implementation year for organizational standards, skip the following question.

8.2. Does the State have in place Technical Assistance Plans (TAPs) or Quality Improvement Plans (QIPs) for all eligible entities with unmet organizational standards that could be used if appropriate? Yes No

Note: This information is associated with State Accountability Measure 6Sb. QIPs are described in Section 678C(a)(4) of the CSBG Act. If the State, according to their corrective action procedures, does not plan to put a QIP in place for an eligible entity with one or more unmet organizational standards, the State should put a TAP in place to support the entity in meeting the standard(s).

IHCDA has contractually partnered with the Indiana Community Action Associate (IN-CAA), High Performance Government Network (HPG) and The Hearts Project to provide training and technical assistance. IHCDA Additionally, IHCDA monitors CAAs based on organizational standards reflected in the Comprehensive Administrative Review (CAR) tool. If the monitoring outcome illustrates a QIP, then TAPs are created to provide training above and beyond the regular opportunities.

8.3. Indicate the types of organizations through which the State plans to provide training and/or technical assistance as described in item 8.1, and briefly describe their involvement [Check all that applies and narrative where applicable]

- CSBG eligible entities (if checked, provide the expected number of CSBG eligible entities to receive funds)
- Other community-based organizations
- State Community Action association
- Regional CSBG technical assistance provider(s)
- National technical assistance provider(s)
- Individual consultant(s)
- Tribes and Tribal Organizations

Other

If this is the first year filling out the automated State Plan, skip the following question.

8.4. Performance Management Adjustment:

How is the State adjusting the training and technical assistance plan under this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with State Accountability Measures 3Sd may pre-populate the State's annual report form

In 2017 we will release a Request For Proposal (RFP) for training to CAAs. Three different agencies were awarded contracts through IHCD's CSBG-D fund to provide training to CAAs on a variety of topics. These topics were largely determined by expressed need and risk assessment scores.

Section 9: State Linkages and Communication

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 9 State Linkages and Communication

Note: This section describes activities that the State may support with CSBG remainder/discretionary funds, described under Section 675C(b)(1) of the CSBG Act. The State may indicate planned use of remainder/discretionary funds for linkage/communication activities in Section 7, State Use of Funds, items 7.9(b) and (c).

9.1 State Linkages and Coordination at the State Level:

Describe the linkages and coordination at the State level that the State plans to create or maintain to ensure increased access to CSBG services to low-income people and communities under this State Plan and avoid duplication of services (as required by the assurance under Section 676(b)(5)).

Describe or attach additional information as needed. [Check all that apply and narrative where applicable]

Note: This response will link to the corresponding CSBG assurance, item 14.5. In addition, this item is associated with State Accountability Measure 7Sa and may pre-populate the State's annual report form.

State Low Income Home Energy Assistance Program (LIHEAP) office

State Weatherization office

State Temporary Assistance for Needy Families (TANF) office

State Head Start office

State public health office

State education department

State Workforce Innovation and Opportunity Act (WIOA) agency

State budget office

Supplemental Nutrition Assistance Program (SNAP)

State child welfare office

State housing office

Other

[Click paper clip to attach file]

9.2. State Linkages and Coordination at the Local Level:

Describe the linkages and coordination at the local level that the State and eligible entities plan to create or maintain to ensure increased access to CSBG services to low-income people and communities and avoid duplication of services, as described under Section 675C(b)(B) and as required by assurance under Sections 676(b)(5) of the CSBG Act. Attach additional information as needed.

Note: This response will link to the corresponding CSBG assurances, items 14.5 and 14.6.

Through the use of referral services in the case management programs, and sharing of information with various local providers and funders, CAAs have been able to coordinate services and resources. Additionally, the public and private sector representatives on the CAA Boards help to achieve those partnerships. The local area partners include, but are not limited to Area Agency on Aging, Workforce Development offices, Head Start programs, schools, community centers, local emergency services, homeless shelters, medical services, law enforcement programs, food banks, pantries and soup kitchens. In 2017 and 2018 we are going to evaluate the Family Development Program to increase focus on self-sufficiency. *[Click paper clip to attach file]*

9.3. Eligible Entity Linkages and Coordination

9.3a State Assurance of Eligible Entity Linkages and Coordination:

Describe how the State will assure that the eligible entities will coordinate and establish linkages to assure the effective delivery of and coordination of CSBG services to low-income people and communities and avoid duplication of services (as required by the assurance under Section 676(b)(5)). [Attach additional information as needed.]

Note: This response will link to the corresponding CSBG assurance, item 14.5.

CAAs must provide a list of public and private partners in constituent services in their Grantee Plan Packets (Annual Plan) and report on funding received from those entities in their annual reports. IHADA has, also, helped to cultivate relationships that offer family support and development programs such as Indiana Permanent Supportive Housing. In 2018 we are going to evaluate our Family Development Program to focus on self-sufficiency. *[Click paper clip to attach file]*

9.3b State Assurance of Eligible Entity Linkages to Fill Service Gaps:

Describe how the eligible entities will develop linkages to fill identified gaps in the services, through the provision of information, referrals, case management, and follow-up consultations, according to the assurance under Section 676(b)(3)(B) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.3b.

In addition to addressing family goals through direct and survey questions, CAAs utilizes a Family Development Matrix. The Family Development Matrix is a part of a Family Development Plan which is being used in a variety of self-sufficiency/case management programs. The matrix looks at 12 life areas. The matrix is used to identify each client's area of need and to measure the client's success in working to achieve their goals. In 2018 we are going to evaluate our Family Development Program to focus on self-sufficiency.

9.4. Workforce Innovation and Opportunity Act (WIOA) Employment and Training Activities:

Does the State intend to include CSBG employment and training activities as part of a WIOA Combined State Plan, as allowed under the Workforce Innovation

and Opportunity Act (as required by the assurance under Section 676(b)(5) of the CSBG Act)? Yes No

Note: This response will link to the corresponding CSBG assurance, item 14.5.

9.4a If the State selected "yes" under item 9.4, provide the CSBG-specific information included in the State's WIOA Combined Plan. This information includes a description of how the State and the eligible entities will coordinate the provision of employment and training activities through statewide and local WIOA workforce development systems. This information may also include examples of innovative employment and training programs and activities conducted by community action agencies or other neighborhood-based organizations as part of a community antipoverty strategy.

As a partnership, the Indiana Department of Workforce Development (IDWD) references the IHCD Community Services Block Grant in their state plan to help partner together in workforce development actions. In the field, various CAAs are working with their local WorkOne offices to further assist clients with training and/or job opportunities. A field partnership example is JobSource. JobSources is the Workforce Innovation and Opportunity Act (WIOA) service provider to the Department of Workforce Development (DWD) and functional managing partner of the Madison County WorkOne office. They are a part of Region 5 workforce area, and are subcontracted through Interlocal Association, the Regional Operator and Service provider for the Region. WorkOne services include job search assistance, resume writing, interviewing techniques, career planning, job placement and potential tuition assistance. The WIOA program ensures access for all adults, dislocated workers and youth, of every skill level, the opportunity to pursue the skills, training, and education they need to obtain employment that will lead to financial stability and economic security for themselves and their families. WIOA enrollment is determined by federal eligibility guidelines. The program provides individual who qualify with assistance in goal setting, barrier removal and job preparation.

9.4b. If the State selected "no" under item 9.4, describe the coordination of employment and training activities, as defined in Section 3 of WIOA, by the State and by eligible entities providing activities through the WIOA system.

9.5. Emergency Energy Crisis Intervention:

Describe how the State will assure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to Low-Income Home Energy Assistance) are conducted in each community in the State, as required by the assurance under Section 676(b)(6) of the CSBG Act.

Note: This response will link to the corresponding CSBG assurance, item 14.6.

IHCDA administers The Low-Income Home Energy Assistance Program (LIHEAP) in Indiana. Funding is provided to LSPs for provision of both the Energy Assistance program (EAP) and the LIHEAP portion of the Weatherization Program. EAP services include winter assistance and crisis benefits for heating, summer, cooling and leveraging. These agencies serve all 92 counties within the state. The LSPs work closely with utility companies and private vendors to serve those in need of energy assistance.

9.6. State Assurance: Faith-based Organizations, Charitable Groups, Community Organizations:

Describe how the State will assure local eligible entities will coordinate and form partnerships with other organizations, including faith-based organizations, charitable groups, and community organizations, according to the State's assurance under Section 676(b)(9) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.9.

Indiana CAAs commonly work with various religious organizations, charitable groups and community organizations. The CAAs submit a Grantee Plan Packet (Annual Plan) annually that emphasizes the importance of building partnerships and linkages in the community to best serve clientele. CAAs are required to respond with a list of partnerships. *[Click paper clip to attach file]*

9.7 Coordination of Eligible Entity 90 Percent Funds with Public/Private Resources:

Describe how the eligible entities will coordinate CSBG 90 percent funds with other public and private resources, according to the assurance under Section 676(b)(3)(C) of the CSBG Act.

Note: this response will link to the corresponding assurance, item 14.3c.

The State of Indiana's fiscal controls automatically obligate 90% of CSBG funds to CAAs to be used for direct programs for low-income citizens. The individual CAA CSBG grant agreement emphasizes the importance of coordinating CSBG funds with other private and public funds.

9.8. Coordination among Eligible Entities and State Community Action Association:

Describe State activities for supporting coordination among the eligible entities and the State Community Action Association.

All of the CAAs in the State of Indiana are members of the Indiana Community Action Association (INCAA). INCAA, who is contracted through IHCD, provides technical assistance, training, service delivery models and resources to help CAAs increase network capacity.

9.9 Communication with Eligible Entities and the State Community Action Association:

In the table below, describe the State's plan for communicating with eligible entities, the State Community Action Association, and other partners under this State Plan. Include communication about annual hearings and legislative hearings, as described under Section 4, CSBG Hearing Requirements.

Communication Plan

	Topic	Expected Frequency	Format	Brief Description of "Other"
1	State Plan	Annually	Other	Post on IHCD website, held public hearings and emailed to CAA Executive Directors for comments.
2	Annual Grantee Plan Packet	Annually	Other	IHCDA provides the packet for the CAAs to complete and send back to IHCD with a specific due date
3	Training	Annually	Meetings/Presentation	
4	Attend State Community Action Association Board Meetings	Monthly	Meetings/Presentation	

9.10. Feedback to Eligible Entities and State Community Action Association:

Describe how the State will provide feedback to local entities and State Community Action Associations regarding performance on State Accountability Measures.

Note: This information is associated with State Accountability Measure 55(iii). The measure indicates feedback should be provided within 60 calendar days of the State getting feedback from OCS.

Feedback from the State Accountability Measures will be emailed to the Executive Director's of CAAs within 30 days of receiving the report. In addition, IHCD attends all monthly INCAA Board Meetings and will provide additional updates and request additional feedback in that forum.

If this is the first year filling out the automated State Plan, skip the following question.

9.11. Performance Management Adjustment:

How is the State adjusting the Communication Plan in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past

performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This information is associated with [State Accountability Measures 7Sb](#); this response may pre-populate the State's annual report form.

The State continues to move toward hosting more in-person meetings and routine conference calls with the CAA program staff, in addition to other general communication methods. We are increasing our purposeful email announcements to increase awareness on initiatives, training opportunities, and other notable details. Webinars will be utilized for selected announcements and training opportunities when applicable. Additionally, IHCDCA attends the CSBG CAA Committee and conducts regular calls with the Committee Chair.

Section 10: Monitoring, Corrective Action, and Fiscal Controls

**U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)**

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 10 Monitoring, Corrective Action, and Fiscal Controls

Monitoring of Eligible Entities (Section 678B(a) of the Act)

10.1. Specify the proposed schedule for planned monitoring visits - including full on-site reviews; on-site reviews of newly designated entities; follow-up reviews - including return visits to entities that failed to meet State goals, standards, and requirements; and other reviews as appropriate.

This is an estimated schedule to assist States in planning. States may indicate "no review" for entities the State does not plan to monitor in the performance period.

For States that have a monitoring approach that does not fit within the table parameters, attach the State's proposed monitoring schedule.

Note: This information is associated with State Accountability Measure 4Sa(i); this response may pre-populate the State's annual report form.

	CSBG Eligible Entity	Review Type	Target Date	Date of Last Full Onsite Review (if applicable)	Brief Description of "Other"
1	Area IV on Aging and Community Services, Inc.	Full onsite	FY2 Q2	06/07/2016	
2	Area V on Aging and Community Services, Inc.	Full onsite	FY1 Q3	08/24/2015	
3	Community Action of Greater Indianapolis	Full onsite	FY1 Q2	06/02/2015	
4	Community Action of Northeast Indiana	Full onsite	FY1 Q4	10/27/2015	
5	Community Action Program of Evansville	Full onsite	FY2 Q4	11/15/2016	
6	Community Action Program of Western Indiana	Full onsite	FY1 Q2	05/19/2015	
7	Community Action of Southern Indiana	Full onsite	FY2 Q2	04/05/2016	
8	Community and Family Services	Full onsite	FY1 Q3	06/30/2015	
9	Central Indiana Community Action Program (JobSource)	Full onsite	FY2 Q3	10/25/2016	
10	Human Services	Full onsite	FY1 Q1	05/19/2015	
11	Hoosier Uplands Economic Development Corporation	Full onsite	FY2 Q2	05/17/2016	
12	Interlocal Community Action Program	Full onsite	FY1 Q4	11/17/2015	
13	Lincoln Hills Development Corporation	Full onsite	FY2 Q4	10/04/2016	
14	North Central Community Action Agency	Full onsite	FY2 Q3	07/26/2016	
15	Northwest Indiana Community Action Agency	Full onsite	FY2 Q3	08/23/2016	
16	Ohio Valley Opportunities	Full onsite	FY2 Q3	09/15/2016	
17	Pace Community Action Agency	Full onsite	FY1 Q2	04/14/2015	
18	Real Services	Full onsite	FY1 Q2	07/28/2015	
19	South Central Community Action Program	Full onsite	FY1 Q3	09/15/2015	
20	Southeastern Indiana Economic Opportunity Corporation	Full onsite	FY2 Q3	06/28/2016	
21	Dubois-Pike-Warrick Economic Opportunity Corporation	Full onsite	FY1 Q3	10/05/2015	
22	Western Indiana Community Action Agency	Full onsite	FY1 Q2	04/26/2016	

10.2. Monitoring Policies:

Provide a copy of State monitoring policies and procedures by attaching and/or providing a hyperlink.

Monitoring Policy and Comprehensive Administrative Review Tool attached. The schedule is determined by a tri-annual rotation. If a CAA was monitored in 2015, then that particular CAA would be monitored in 2018 with a low-risk rating from the Community Needs Assessment. If the CAA were received a medium or high risk score, or have been placed on a QIP, then the CAA will be monitored at least bi-annually. The timeframe of the monitoring during the given year is determined by what time of the

year that CAA was monitored in the prior monitoring and their risk-assessment score. The schedule would change if there was cause to either monitor more frequently, monitor earlier in the year, or adjust for coordination purposes.

10.3. Initial Monitoring Reports:

According to the State's procedures, by how many calendar days must the State disseminate initial monitoring reports to local entities?

Note: This item is associated with State Accountability Measure 4Sa(ii) and may pre-populate the State's annual report form.

30

Corrective Action, Termination and Reduction of Funding and Assurance Requirements

(Section 678C of the Act)

10.4. Closing Findings:

Are State procedures for addressing eligible entity findings/deficiencies and documenting the closure of findings, included in the State monitoring protocols attached above? Yes No

10.4a. If no describe State procedures for addressing eligible entity findings/deficiencies, and the documenting of the closure of findings.

N/A

10.5. Quality Improvement Plans (QIPs):

How many eligible entities are currently on Quality Improvement Plans?

Note: The QIP information is associated with State Accountability Measures 4Sc.

1

10.6. Reporting of QIPs:

Describe the State's process for reporting eligible entities on QIPs to the Office of Community Services within 30 calendar days of the State approving a QIP

Note: This item is associated with State Accountability Measures 4Sa(iii).

Office of Community Services is notified at the same time that the formal notification is sent to the client/agency. Office of Community Service also receives a copy of the monitoring report within 30 days of IHCD's notification to the CAA. IHCD has briefed our Project Officer Crystal Crews regarding the current QIP process.

10.7. Assurance on Funding Reduction or Termination:

Does the State assure, according to Section 676(b)(8), "that any eligible entity that received CSBG funding the previous fiscal year will not have its funding terminated or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in Section 678C(b)". Yes No

Note: This response will link with the corresponding assurance under item 14.8.

Policies on Eligible Entity Designation, De-designation, and Re-designation

10.8. Does the State CSBG statute and/or regulations provide for the designation of new eligible entities? Yes No

10.8a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for the designation of new eligible entities.

10.9. Does the State CSBG statute and/or regulations provide for de-designation of eligible entities? Yes No

10.9a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for de-designation of eligible entities.

10.10. Does the State CSBG statute and/or regulations specify a process the State CSBG agency must follow to re-designate an existing eligible entity? Yes No

10.10a. If yes, provide the citation(s) of the law and/or regulation. If no, describe State procedures for re-designation of existing eligible entities.

Fiscal Controls and Audits and Cooperation Assurance

10.11. Fiscal Controls and Accounting:

Describe how the State's fiscal controls and accounting procedures will a) permit preparation of the SF-425 Federal fiscal reports (FFR) and b) permit the tracing of expenditures adequate to ensure funds have been used appropriately under the block grant, as required by Block Grant regulations applicable to CSBG at 45 CFR 96.30(a).

Indiana Housing and Community Development Authority has fiscal control and accounting procedures necessary to assure the proper disbursement of and accounting for federal funds. IHCD is the direct recipient of CSBG funds. These funds are drawn from the U.S. Department of Health and Human Services by IHCD following receipt of claim vouchers and supporting documentation from CAAs. IHCD's accounting department is responsible for the computerized system of processing and payment of claims to the CAA for their costs in the administration of programs. IHCD's Division of Community Programs works closely with the accounting department to verify the claim information submitted by the CAA. The payments are limited to the level of the CAA's budget totals and contracted allocations. Sub-grantees are required to submit program budgets, which project the amounts to be expended for administrative and program activities under Programmatic Assurances above. These budgets are based on allocation of funds to the entities and contracts are issued in the amount of the funding allocations. IHCD utilizes a board approved funding formula to determine funding amounts for each eligible entity. After grant agreements have been executed, IHCD will pay claims based on the eligible activities outlined in the Sub-grantee's budget. IHCD assures that the cost and accounting standards of the Office of Management and Budget are accurately applied to IHCD and the Sub-grantees that receive CSBG funding. IHCD uses an independent auditor who completes a program audit as well as a financial statement audit. Appropriate books, documents, papers and records are available to the Secretary and the Controller General of the United States or any authorized representatives to examine, copy or mechanically reproduce any and all related documents upon reasonable request for the items.

10.12. Single Audit Management Decisions:

Describe State procedures for issuing management decisions for eligible entity single audits, as required by Block Grant regulations applicable to CSBG at 45 CFR §75.521. If these procedures are described in the State monitoring protocols attached under item 10.2, indicate the page number. CLICK [HERE](#) FOR LINK TO 45 CFR §75.521

Note: This information is associated with State Accountability Measure 4Sd.

The procedure is described on page 5 of the State Monitoring Protocol attachment in 10.2.

10.13. Assurance on Federal Investigations:

Will the State "permit and cooperate with Federal investigations undertaken in accordance with [Section 678D\(a\)](#)" of the CSBG Act, as required by the assurance under [Section 676\(b\)\(7\)](#) of the CSBG Act? Yes No

If this is the first year filling out the automated State Plan, skip the following question.

10.14. Performance Management Adjustment:

How is the State adjusting monitoring procedures in this State Plan as compared to past plans? Any adjustment should be based on the State's analysis of past performance, and should consider feedback from eligible entities, OCS, and other sources, such as the public hearing. If the State is not making any adjustments, provide further detail.

Note: This item is associated with [State Accountability Measure 4S](#) and may pre-populate the State's annual report form.

The revised State of Indiana onsite CAR monitoring process utilizes the CSBG Organizational Standards (IM-138), state and federal codes, IHEDA knowledge and previous monitoring experience and best business practices. The CSBG Organizational Standards are the foundation of the CAR tool's programmatic review. In addition, Indiana monitors fiscal management, performance metrics, allocation, procurement and accounting to determine solvency. We are utilizing a risk assessment tool where outcomes result in determining the frequency and additional requirements for monitoring. If we implement any material changes to our monitoring plan, we will submit a revision to the state plan. The State has implemented a scoring system so each agency receives a performance score. This accountability measure provides the ability to track data such as the percentage of eligible entities that met 100 percent of the organizational standards during the performance period and information on technical assistance plans and Quality Improvement Plans for eligible entities not meeting the standards during the performance period. Beginning in 2017, based on an agency's risk assessment score, IHEDA will monitor high and medium risk agencies on a bi-annual basis and low-risk agencies on a tri-annual basis. All agencies will be required to submit some documentation during off years that is considered of higher importance to monitor on a more frequent basis. Overall, Organizational Management and Organizational Analysis standards are designed to ensure CSBG eligible entities have appropriate organizational capacity to deliver services to low-income individuals in their communities.

Section 11: Eligible Entity Tripartite Board

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 11 Eligible Entity Tripartite Board

11.1. Which of the following measures are taken to ensure that the State verifies CSBG Eligible Entities are meeting Tripartite Board requirements under Section 676B of the CSBG Act? *[Check all that applies and narrative where applicable]*

- Attend Board meetings
- Review copies of Board meeting minutes
- Keep a register of Board vacancies/composition
- Other** Agencies annually turn in a current Board Roster included in their annual plan.

11.2. How often does the State require eligible entities (which are not on TAPs or QIPs) to provide updates (e.g., copies of meeting minutes, vacancy alerts, changes to bylaws, low-income member selection process, etc.) regarding their Tripartite Boards? *[Check all that applies and narrative where applicable]*

- Annually
- Semiannually
- Quarterly
- Monthly
- Other

11.3. Assurance on Eligible Entity Tripartite Board Representation:

Describe how the State will carry out the assurance under Section 676(b)(10) of the CSBG Act that the State will require eligible entities to have policies and procedures by which individuals or organizations can petition for adequate representation on an eligible entities' Tripartite Board.

Note: This response will link with the corresponding assurance, item 14.10.

The Tripartite requirement is included in Indiana's statute regarding Community Action Agencies. CAAs are required to include list of their board members along with the sector each represents in their annual plans. This ensures adherence to the requirement prior to each entity executing its CSBG grant agreement. Board vacancies that affect the tripartite requirement must be filled within 90 days. Twenty-one of the CAAs are private non-profit community action agencies and meet the tripartite board requirements. One CAA, the only public organization receiving funds under this subtitle, is the Board of Madison County Commissioners (Jobsource) and is also a Community Action Agency known as Central Indiana Community Action. This agency has a separate Community Action Program council which serves as the Board of Directors. Jobsource bylaws regarding the Tripartite Board requirement have been submitted and are on file.

11.4. Does the State permit public eligible entities to use, as an alternative to a Tripartite Board, "another mechanism specified by the State to assure decision-making and participation by low income individuals in the development, planning, implementation, and evaluation of programs" as allowed under Section 676B(b)(2) of the CSBG Act. Yes No

11.4a. If yes, describe the mechanism used by public eligible entities as an alternative to a Tripartite Board.

Section 12: Individual and Community Eligibility Requirements

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No: 0970-0382
Expires:08/31/2016

SECTION 12

Individual and Community Income Eligibility Requirements

12.1. Required Income Eligibility:

What is the income eligibility threshold for services in the State?

[Check one item below.]

125% of the HHS poverty line

% *[Response Option: numeric field]*

12.1a. Describe any State policy and/or procedures for income eligibility, such as treatment of income and family/household composition.

CSBG funded programs utilize income verification processes from other federally funded programs such as Energy Assistance, Head Start and Housing Choice Voucher. CAAs use their own client intake forms to determine income eligibility for local programs. Calculations are based on gross income.

12.2. Income Eligibility for General/Short-Term Services:

For services with limited in-take procedures (where individual income verification is not possible or practical), how does the State ensure eligible entities generally verify income eligibility for services? An example of these services is emergency food assistance.

Clients certify income information on a signed affidavit. Source documentation includes pay stubs, and award letter. Clients who do not have pay stubs or award letters can provide a wage history from the Indiana Department of Workforce Development.

12.3. Community-targeted Services:

For services that provide a community-wide benefit (e.g., development of community assets/facilities, building partnerships with other organizations), how does the State ensure eligible entities' services target and benefit low-income communities?

Annual plans must reflect that each CAA has a presence in low-income communities; secondly CAAs are required to have a Tripartite Board of directors so that the low-income are represented by a third of the board; thirdly, IHEDA reviews CAAs annual reports and newsletter which reflect how they are serving and reaching the low-income community. During the CAR monitoring visit, IHEDA requests CAAs to show documentation that all of the above requirements were met during each program year.

Section 13: Results Oriented Management and Accountability (ROMA) System

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
 Administration for Children and Families
 Community Services Block Grant (CSBG)

Form Approved
 OMB No: 0970-0382
 Expires:08/31/2016

SECTION 13 Results Oriented Management and Accountability (ROMA) System

13.1. ROMA Participation:

In which performance measurement system will the State and all eligible entities participate, as required by [Section 678E\(a\)](#) of the CSBG Act and the assurance under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.

- The Results Oriented Management and Accountability (ROMA) System
- Another performance management system that meets the requirements of [Section 678E\(b\)](#) of the CSBG Act
- An alternative system for measuring performance and results.

13.1a. If ROMA was selected in Item 13.1, attach and/or describe the State's written policies, procedures, or guidance documents on ROMA.

The State of Indiana participates in the ROMA system by monitoring agency activity of the three national goals and NPI's. The ROMA assessment will be used in conjunction with the CSBG CAR and other program reviews to assess the status of the agency's administration and programs. All agencies are required to submit an annual CSBG IS report that includes ROMA data and an annual Grantee Plan that links agency programs to the NPI's. Furthermore, the CSBG CAR Monitoring process is based upon IM-138 and reviews programmatic compliance with ROMA objectives (assessment, planning, implementation, achievement of results, and evaluation) such as needs assessments, strategic planning, staff and governing board development/training, customer surveys, etc.

13.1b. If ROMA was not selected in Item 13.1, describe the system the State will use for performance measurement. [Narrative, 2500 characters]

13.2. Indicate and describe the outcome measures the State will use to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization, as required under [Section 676\(b\)\(12\)](#) of the CSBG Act?

Note: This response will also link to the corresponding assurance, Item 14.12.

- CSBG National Performance Indicators (NPIs)
- NPIs and others
- Others

13.3. How does the State support the eligible entities in using the ROMA system (or alternative performance measurement system)?

Note: The activities described under Item 13.3 may include activities... listed in "Section 8: State Training and Technical Assistance." If so, mention briefly, and/or cross-reference as needed. This response will also link to the corresponding assurance, item 14.12.

Through a contract with Indiana Community Action Association IHCD uses Community Services Block Grant Discretionary Funds to train ROMA trainers. Indiana has a total of 7 ROMA trainers. IHCD provides ROMA training annually to its sub-grantees and makes trainers available to review agency strategic plans.

13.4. Eligible Entity Use of Data:

How is the State validating that the eligible entities are using data to improve service delivery?

Note: This response will also link to the corresponding assurance, Item 14.12.

The annual Grantee Plan Packet (Annual Plan) requires CAAs to develop and implement strategies to measure and record improvements in the well-being of low-income people and the communities in which they live. These improvements are the results of community action intervention. The Grantee Plan Packet requires CAAs to use the data they collect to analyze outcomes with the board and staff to determine the effectiveness of programs. The Grantee Plan Packet requires CAAs to use the Community Needs Assessment and customer feedback to review programs and adjust offerings according to feedback. Lastly, the Grantee Plan Packets request documentation that the CAAs inform their board of annual long-range planning, agency advocacy, funding, and community partnership activities. The annual plans are reviewed by IHCD and comments are provided to indicate further information requirements, request to utilize sections as best practice advice, or to encourage CAAs to further explore program outcomes.

Community Action Plans and Needs Assessments

13.5. Describe how the State will secure a Community Action Plan from each eligible entity, as a condition of receipt of CSBG funding by each entity, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

CAAs are required to submit a Grantee Plan packet which includes a Community Action Plan. The plan must be submitted by the established due date in order for the CAA to receive the next year's funding. The IHCD Community Analyst reviews all Grantee Plan Packets to check for programmatic and technical compliance. After completing the analysis, the IHCD Community Analyst will send the CAA a letter informing them when the review and approval of their plan has been completed. CAAs budget are reviewed and approved upon the return of their signed contract agreement.

13.6. State Assurance:

Describe how the State will assure that each eligible entity includes a community needs assessment for the community served (which may be coordinated with community needs assessments conducted by other programs) in each entity's Community Action Plan, as required by [Section 676\(b\)\(11\)](#) of the CSBG Act.

Note: this response will link to the corresponding assurance, Item 14.11.

Every three years IHCD coordinates the completion of a Community Needs Assessment for the network which includes CAA regions. These assessments are utilized by

each individual agency towards program design and delivery, and data is drawn upon during the completion of the Grantee Plan Packet. The most recent needs assessment was completed in 2014. During 2017 and 2018 IHCD will commission the next Community Needs Assessment and data collection will occur, and in 2018 the new assessment will be provided to CAAs. The Community Needs Assessment covers the following areas for each CAA: Demographics, economic status of citizens, housing affordability, mobility of citizens, adult skills and finances, household support and nutrition. CAAs are required to provide a list and description of strategic partnerships in their annual Grantee Plan Packet.

Section 14: CSBG Programmatic Assurances and Information Narrative

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 14 CSBG Programmatic Assurances and Information Narrative (Section 676(b) of the CSBG Act)

14.1 Use of Funds Supporting Local Activities

CSBG Services

14.1a. 676(b)(1)(A): Describe how the State will assure "that funds made available through grant or allotment will be used -

(A) to support activities that are designed to assist low-income families and individuals, including families and individuals receiving assistance under title IV of the Social Security Act, homeless families and individuals, migrant or seasonal farm workers, and elderly low-income individuals and families, and a description of how such activities will enable the families and individuals--

- (i) to remove obstacles and solve problems that block the achievement of self sufficiency (particularly for families and individuals who are attempting to transition off a State program carried out under part A of title IV of the Social Security Act);
 - (ii) to secure and retain meaningful employment;
 - (iii) to attain an adequate education with particular attention toward improving literacy skills of the low-income families in the community, which may include family literacy initiatives;
 - (iv) to make better use of available income;
 - (v) to obtain and maintain adequate housing and a suitable living environment;
 - (vi) to obtain emergency assistance through loans, grants, or other means to meet immediate and urgent individual and family needs;
 - (vii) to achieve greater participation in the affairs of the communities involved, including the development of public and private grassroots partnerships with local law enforcement agencies, local housing authorities, private foundations, and other public and private partners to -
- (I) document best practices based on successful grassroots intervention in urban areas, to develop methodologies for widespread replication; and
- (II) strengthen and improve relationships with local law enforcement agencies, which may include participation in activities such as neighborhood or community policing efforts;

Eligible entities must use funding for programs described in their approved annual plan that serve low-income individuals and communities. IHEDA monitors claims when CAAs submit expenses for reimbursement. CAAs are required to submit an Annual Plan in their Grantee Plan Packet, and return a budget with the signed grant agreement. IHEDA reviews claims for reimbursement including associated supportive documentation. The IS report data submissions area verified against what was submitted in each CAA's Annual Plan.

Needs of Youth

14.1b. 676(b)(1)(B) Describe how the State will assure "that funds made available through grant or allotment will be used -

(B) to address the needs of youth in low-income communities through youth development programs that support the primary role of the family, give priority to the prevention of youth problems and crime, and promote increased community coordination and collaboration in meeting the needs of youth, and support development and expansion of innovative community-based youth development programs that have demonstrated success in preventing or reducing youth crime, such as--

- (i) programs for the establishment of violence-free zones that would involve youth development and intervention models (such as models involving youth mediation, youth mentoring, life skills training, job creation, and entrepreneurship programs); and
- (ii) after-school child care programs;

CAAs address the needs of their communities by a variety of youth programs such as summer programs, mentoring programs, after-school programs and kid food cafes.

Coordination of Other Programs

14.1c. 676(b)(1)(C) Describe how the State will assure "that funds made available through grant or allotment will be used -

(C) to make more effective use of, and to coordinate with, other programs related to the purposes of this subtitle (including State welfare reform efforts)

Indiana CSBG funding provides eligible entities the opportunities to operate a variety of programs and provide administrative funding, including, but not limited to: WIC, Workforce Development Training, LIHEAP, Weatherization Program, Housing, Head Start and Individual Development Account.

State Use of Discretionary Funds

14.2 676(b)(2) Describe "how the State intends to use discretionary funds made available from the remainder of the grant or allotment described in section 675C(b) in accordance with this subtitle, including a description of how the State will support innovative community and neighborhood-based initiatives related to the purposes of this subtitle."

Note: The State describes this assurance under "State Use of Funds: Remainder/Discretionary," items 7.9 and 7.10

Eligible Entity Service Delivery, Coordination, and Innovation
14.3. 676(b)(3) "Based on information provided by eligible entities in the State, a description of..."
14.3a. 676(b)(3)(A) Describe "the service delivery system, for services provided or coordinated with funds made available through grants made under 675C(a), targeted to low-income individuals and families in communities within the State;
Service provided to low-income individuals and families are provided through the 22 community action agencies as listed under the Eligible Entities. These agencies cover 92 counties each in the State of Indiana. All 92 counties in Indiana are served by the 22 agencies. The distribution of funding among the agencies will depend on the number of low-income people residing in a particular county and the number of counties that a particular community action agency serves.
Eligible Entity Linkages - Approach to Filling Service Gaps
14.3b. 676(b)(3)(B) Describe "how linkages will be developed to fill identified gaps in the services, through the provision of information, referrals, case management, and followup consultations."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.3b.</i>
Coordination of Eligible Entity Allocation 90 Percent Funds with Public/Private Resources
14.3c. 676(b)(3)(C) Describe how funds made available through grants made under 675C(a) will be coordinated with other public and private resources."
<i>Note: The State describes this assurance in the State Linkages and Communication section, item 9.7.</i>
Eligible Entity Innovative Community and Neighborhood Initiatives, Including Fatherhood/Parental Responsibility
14.3d. 676(b)(3)(D) Describe "how the local entity will use the funds [made available under Section 675C(a)] to support innovative community and neighborhood-based initiatives related to the purposes of this subtitle, which may include fatherhood initiatives and other initiatives with the goal of strengthening families and encouraging parenting."
<i>Note: The description above is about eligible entity use of 90 percent funds to support these initiatives. States may also support these types of activities at the local level using State remainder/discretionary funds, allowable under Section 675C(b)(1)(F). In this State Plan, the State indicates funds allocated for these activities under item 7.9(f).</i>
IHCDA uses Community Services Block Grant Discretionary Funds to: a) Provide training and technical assistance to CAAs b) Provide money for innovative programs.
Eligible Entity Emergency Food and Nutrition Services
14.4. 676(b)(4) Describe how the State will assure "that eligible entities in the State will provide, on an emergency basis, for the provision of such supplies and services, nutritious foods, and related services, as may be necessary to counteract conditions of starvation and malnutrition among low-income individuals."
IHCDA requires CAAs to connect clients to these resources and allow CAAs to use CSBG funds to supplement these efforts. IHCDA requires eligible entities to provide partnership descriptions and linkages to other organizations who provide these services. Those descriptions are provided in the Grantee Plan Packet.
State and Eligible Entity Coordination/linkages and Workforce Innovation and Opportunity Act Employment and Training Activities
14.5. 676(b)(5) Describe how the State will assure "that the State and eligible entities in the State will coordinate, and establish linkages between, governmental and other social services programs to assure the effective delivery of such services, and [describe] how the State and the eligible entities will coordinate the provision of employment and training activities, as defined in section 3 of the Workforce Innovation and Opportunity Act, in the State and in communities with entities providing activities through statewide and local workforce development systems under such Act."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.1, 9.2, 9.3a, 9.4, 9.4a, and 9.4b.</i>
State Coordination/Linkages and Low-income Home Energy Assistance
14.6. 676(b)(6) Provide "an assurance that the State will ensure coordination between antipoverty programs in each community in the State, and ensure, where appropriate, that emergency energy crisis intervention programs under title XXVI (relating to low income home energy assistance) are conducted in such community."
<i>Note: The State describes this assurance in the State Linkages and Communication section, items 9.2 and 9.5.</i>
Federal Investigations
14.7. 676(b)(7) Provide "an assurance that the State will permit and cooperate with Federal investigations undertaken in accordance with section 678D."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.13.</i>
Funding Reduction or Termination
14.8. 676(b)(8) Provide "an assurance that any eligible entity in the State that received funding in the previous fiscal year through a community services block grant made under this subtitle will not have its funding terminated under this subtitle, or reduced below the proportional share of funding the entity received in the previous fiscal year unless, after providing notice and an opportunity for a hearing on the record, the State determines that cause exists for such termination or such reduction, subject to review by the Secretary as provided in section 678C(b)."
<i>Note: The State addresses this assurance in the Fiscal Controls and Monitoring section, item 10.7.</i>
Coordination with Faith-based Organizations, Charitable Groups, Community Organizations
14.9. 676(b)(9) Describe how the State will assure "that the State and eligible entities in the State will, to the maximum extent possible, coordinate programs with and form partnerships with other organizations serving low-income residents of the communities and members of the groups served by the State, including religious organizations, charitable groups, and community organizations."

Note: The State describes this assurance in the State Linkages and Communication section, item 9.6.

Eligible Entity Tripartite Board Representation

14.10. 676(b)(10) Describe how "the State will require each eligible entity in the State to establish procedures under which a low-income individual, community organization, or religious organization, or representative of low-income individuals that considers its organization, or low-income individuals, to be inadequately represented on the board (or other mechanism) of the eligible entity to petition for adequate representation."

Note: The State describes this assurance in the Eligible Entity Tripartite Board section, 11.3.

Eligible Entity Community Action Plans and Community Needs Assessments

14.11. 676(b)(11) Provide "an assurance that the State will secure from each eligible entity in the services block grant made under this subtitle for a program, a community action plan (which shall be submitted to the Secretary, at the request of the Secretary, with the State plan) that includes a community-needs assessment for the community served, which may be coordinated with community-needs assessments conducted for other programs."

Note: The State describes this assurance in the ROMA section, items 13.5 and 13.6.

State and Eligible Entity Performance Measurement: ROMA or Alternate system

14.12. 676(b)(12) Provide "an assurance that the State and all eligible entities in the State will, not later than fiscal year 2001, participate in the Results Oriented Management and Accountability System, another performance measure system for which the Secretary facilitated development pursuant to 678E(b), or an alternative system for measuring performance and results that meets the requirements of that section, and [describe] outcome measures to be used to measure eligible entity performance in promoting self-sufficiency, family stability, and community revitalization."

Note: The State describes this assurance in the ROMA section, items 13.1, 13.2, 13.3, and 13.4.

Validation for CSBG Eligible Entity Programmatic Narrative Sections

14.13. 676(b)(13) Provide "information describing how the State will carry out the assurances described in this section."

Note: The State provides information for each of the assurances directly in section 14 or in corresponding items throughout the State Plan, which are included as hyperlinks in section 14.



By checking this box, the State CSBG authorized official is certifying the assurances set out above.

Section 15: Federal Certifications

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Administration for Children and Families
Community Services Block Grant (CSBG)

Form Approved
OMB No:0970-0382
Expires:08/31/2016

SECTION 15 Federal Certifications

CERTIFICATION REGARDING LOBBYING

Certification for Contracts, Grants, Loans, and Cooperative Agreements

The undersigned certifies, to the best of his or her knowledge and belief, that:

(1) No Federal appropriated funds have been paid or will be paid, by or on behalf of the undersigned, to any person for influencing or attempting to influence an officer or employee of an agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with the awarding of any Federal contract, the making of any Federal grant, the making of any Federal loan, the entering into of any cooperative agreement, and the extension, continuation, renewal, amendment, or modification of any Federal contract, grant, loan, or cooperative agreement.

(2) If any funds other than Federal appropriated funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress or an employee of a Member of Congress in connection with this Federal contract, grant, loan, or cooperative agreement, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions.

(3) The undersigned shall require that the language of this certification be included in the award documents for all subawards at all tiers (including subcontracts, subgrants, and contracts under grants, loans, and cooperative agreements) and that all subrecipients shall certify and disclose accordingly. This certification is a material representation of fact upon which reliance was placed when this transaction was made or entered into. Submission of this certification is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required certification shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

Statement for Loan Guarantees and Loan Insurance

The undersigned states, to the best of his or her knowledge and belief, that:

If any funds have been paid or will be paid to any person for influencing or attempting to influence an officer or employee of any agency, a Member of Congress, an officer or employee of Congress, or an employee of a Member of Congress in connection with this commitment providing for the United States to insure or guarantee a loan, the undersigned shall complete and submit Standard Form-LLL, "Disclosure Form to Report Lobbying," in accordance with its instructions. Submission of this statement is a prerequisite for making or entering into this transaction imposed by section 1352, title 31, U.S. Code. Any person who fails to file the required statement shall be subject to a civil penalty of not less than \$10,000 and not more than \$100,000 for each such failure.

The box after each certification must be checked by the State CSBG authorized official.

15.1. Lobbying

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DRUG-FREE WORKPLACE REQUIREMENTS

This certification is required by the regulations implementing the Drug-Free Workplace Act of 1988: 45 CFR Part 76, Subpart, F. Sections 76.630(c) and (d)(2) and 76.645 (a)(1) and (b) provide that a Federal agency may designate a central receipt point for STATE-WIDE AND STATE AGENCY-WIDE certifications, and for notification of criminal drug convictions. For the Department of Health and Human Services, the central point is: Division of Grants Management and Oversight, Office of Management and Acquisition, Department of Health and Human Services, Room 517-D, 200 Independence Avenue, SW Washington, DC 20201.

Certification Regarding Drug-Free Workplace Requirements (Instructions for Certification)

 1. By signing and/or submitting this application or grant agreement, the grantee is providing the certification set out below.

 2. The certification set out below is a material representation of fact upon which reliance is placed when the agency awards the grant. If it is later determined that the grantee knowingly rendered a false certification, or otherwise violates the requirements of the Drug-Free Workplace Act, the agency, in addition to any other remedies available to the Federal Government, may take action authorized under the Drug-Free Workplace Act.

 3. For grantees other than individuals, Alternate I applies.

 4. For grantees who are individuals, Alternate II applies.

 5. Workplaces under grants, for grantees other than individuals, need to be identified on the certification. If known, they may be identified in the grant application. If the grantee does not identify the workplaces at the time of application, or upon award, if there is no application, the grantee must keep the identity of the workplace(s) on file in its office and make the information available for Federal inspection. Failure to identify all known workplaces constitutes a violation of the grantee's drug-free workplace requirements.

 6. Workplace identifications must include the actual address of buildings (or parts of buildings) or other sites where work under the grant takes place. Categorical descriptions may be used (e.g., all vehicles of a mass transit authority or State highway department while in operation, State employees in each local unemployment office, performers in concert halls or radio studios).

 7. If the workplace identified to the agency changes during the performance of the grant, the grantee shall inform the agency of the change(s), if it previously identified the workplaces in question (see paragraph five).

 8. Definitions of terms in the Nonprocurement Suspension and Debarment common rule and Drug-Free Workplace common rule apply to this certification. Grantees' attention is called, in particular, to the following definitions from these rules:

***Controlled substance* means a controlled substance in Schedules I through V of the Controlled Substances Act (21 U.S.C. 812) and as further defined by regulation (21 CFR 1308.11 through 1308.15);**

***Conviction* means a finding of guilt (including a plea of nolo contendere) or imposition of sentence, or both, by any judicial body charged with the responsibility to determine violations of the Federal or State criminal drug statutes;**

***Criminal drug statute* means a Federal or non-Federal criminal statute involving the manufacture, distribution, dispensing, use, or possession of any controlled substance;**

***Employee* means the employee of a grantee directly engaged in the performance of work under a grant, including: (i) All direct charge employees; (ii) All indirect charge employees unless their impact or involvement is insignificant to the performance of the grant; and, (iii) Temporary personnel and consultants who are directly engaged in the performance of work under the grant and who are on the grantee's payroll. This definition does not include workers not on the payroll of the grantee (e.g., volunteers, even if used to meet a matching requirement; consultants or independent contractors not on the grantee's payroll; or employees of subrecipients or subcontractors in covered workplaces).**

Certification Regarding Drug-Free Workplace Requirements

Alternate I. (Grantees Other Than Individuals)

The grantee certifies that it will or will continue to provide a drug-free workplace by:

(a) Publishing a statement notifying employees that the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance is prohibited in the grantee's workplace and specifying the actions that will be taken against employees for violation of such prohibition;

(b) Establishing an ongoing drug-free awareness program to inform employees about - -

(1) The dangers of drug abuse in the workplace;

(2) The grantee's policy of maintaining a drug-free workplace;

(3) Any available drug counseling, rehabilitation, and employee assistance programs; and

(4) The penalties that may be imposed upon employees for drug abuse violations occurring in the workplace;

(c) Making it a requirement that each employee to be engaged in the performance of the grant be given a copy of the statement required by paragraph (a);

(d) Notifying the employee in the statement required by paragraph (a) that, as a condition of employment under the grant, the employee will - -

(1) Abide by the terms of the statement; and (2) Notify the employer in writing of his or her conviction for a violation of a criminal drug statute occurring in the workplace no later than five calendar days after such conviction;

(e) Notifying the agency in writing, within 10 calendar days after receiving notice under paragraph (d)(2) from an employee or otherwise receiving actual notice of such conviction. Employers of convicted employees must provide notice, including position title, to every grant officer or other designee on whose grant activity the convicted employee was working, unless the Federal agency has designated a central point for the receipt of such notices. Notice shall include the identification number(s) of each affected grant;

(f) Taking one of the following actions, within 30 calendar days of receiving notice under paragraph (d)(2), with respect to any employee who is so convicted - -

(1) Taking appropriate personnel action against such an employee, up to and including termination, consistent with the requirements of the Rehabilitation Act of 1973, as amended; or

(2) Requiring such employee to participate satisfactorily in a drug abuse assistance or rehabilitation program approved for such purposes by a Federal, State, or local health, law enforcement, or other appropriate agency;

(g) Making a good faith effort to continue to maintain a drug-free workplace through implementation of paragraphs (a), (b), (c), (d), (e) and (f).

(B) The grantee may insert in the space provided below the site(s) for the performance of work done in connection with the specific grant:

Place of Performance (Street address, city, county, state, zip code)

Check if there are workplaces on file that are not identified here.

Alternate II. (Grantees Who Are Individuals)

(a) The grantee certifies that, as a condition of the grant, he or she will not engage in the unlawful manufacture, distribution, dispensing, possession, or use of a controlled substance in conducting any activity with the grant;

(b) If convicted of a criminal drug offense resulting from a violation occurring during the conduct of any grant activity, he or she will report the conviction, in writing, within 10 calendar days of the conviction, to every grant officer or other designee, unless the Federal agency

designates a central point for the receipt of such notices. When notice is made to such a central point, it shall include the identification number(s) of each affected grant.

[55 FR 21690, 21702, May 25, 1990]

15.2. Drug-Free Workplace Requirements

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING DEBARMENT, SUSPENSION AND OTHER RESPONSIBILITY MATTERS

Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions

Instructions for Certification

 1. By signing and submitting this proposal, the prospective primary participant is providing the certification set out below.

 2. The inability of a person to provide the certification required below will not necessarily result in denial of participation in this covered transaction. The prospective participant shall submit an explanation of why it cannot provide the certification set out below. The certification or explanation will be considered in connection with the department or agency's determination whether to enter into this transaction. However, failure of the prospective primary participant to furnish a certification or an explanation shall disqualify such person from participation in this transaction.

 3. The certification in this clause is a material representation of fact upon which reliance was placed when the department or agency determined to enter into this transaction. If it is later determined that the prospective primary participant knowingly rendered an erroneous certification, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

 4. The prospective primary participant shall provide immediate written notice to the department or agency to which this proposal is submitted if at any time the prospective primary participant learns that its certification was erroneous when submitted or has become erroneous by reason of changed circumstances.

 5. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meanings set out in the Definitions and Coverage sections of the rules implementing Executive Order 12549. You may contact the department or agency to which this proposal is being submitted for assistance in obtaining a copy of those regulations.

 6. The prospective primary participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency entering into this transaction.

 7. The prospective primary participant further agrees by submitting this proposal that it will include the clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusive-Lower Tier Covered Transaction," provided by the department or agency entering into this covered transaction, without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions

** 8. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from the covered transaction, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant**

may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

 9. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

 10. Except for transactions authorized under paragraph 6 of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency may terminate this transaction for cause or default.

**Certification Regarding Debarment, Suspension, and Other Responsibility Matters - -
Primary Covered Transactions**

(1) The prospective primary participant certifies to the best of its knowledge and belief, that it and its principals:

(a) Are not presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded by any Federal department or agency;

(b) Have not within a three-year period preceding this proposal been convicted of or had a civil judgment rendered against them for commission of fraud or a criminal offense in connection with obtaining, attempting to obtain, or performing a public (Federal, State or local) transaction or contract under a public transaction; violation of Federal or State antitrust statutes or commission of embezzlement, theft, forgery, bribery, falsification or destruction of records, making false statements, or receiving stolen property;

(c) Are not presently indicted for or otherwise criminally or civilly charged by a governmental entity (Federal, State or local) with commission of any of the offenses enumerated in paragraph (1)(b) of this certification; and

(d) Have not within a three-year period preceding this application/proposal had one or more public transactions (Federal, State or local) terminated for cause or default.

(2) Where the prospective primary participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

Instructions for Certification

 1. By signing and submitting this proposal, the prospective lower tier participant is providing the certification set out below

 2. The certification in this clause is a material representation of fact upon which reliance was placed when this transaction was entered into. If it is later determined that the prospective lower tier participant knowingly rendered an erroneous certification, in addition to other

 3. The prospective lower tier participant shall provide immediate written notice to the person to which this proposal is submitted if at any time the prospective lower tier participant learns that its certification was erroneous when submitted or had become erroneous by reason of changed circumstances.

 4. The terms covered transaction, debarred, suspended, ineligible, lower tier covered transaction, participant, person, primary covered transaction, principal, proposal, and voluntarily excluded, as used in this clause, have the meaning set out in the Definitions and Coverage sections of rules implementing Executive Order 12549. You may contact the person to which this proposal is submitted for assistance in obtaining a copy of those regulations.

5. The prospective lower tier participant agrees by submitting this proposal that, should the proposed covered transaction be entered into, it shall not knowingly enter into any lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, declared ineligible, or voluntarily excluded from participation in this covered transaction, unless authorized by the department or agency with which this transaction originated.

6. The prospective lower tier participant further agrees by submitting this proposal that it will include this clause titled "Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion-Lower Tier Covered Transaction," without modification, in all lower tier covered transactions and in all solicitations for lower tier covered transactions.

7. A participant in a covered transaction may rely upon a certification of a prospective participant in a lower tier covered transaction that it is not proposed for debarment under 48 CFR part 9, subpart 9.4, debarred, suspended, ineligible, or voluntarily excluded from covered transactions, unless it knows that the certification is erroneous. A participant may decide the method and frequency by which it determines the eligibility of its principals. Each participant may, but is not required to, check the List of Parties Excluded from Federal Procurement and Nonprocurement Programs.

8. Nothing contained in the foregoing shall be construed to require establishment of a system of records in order to render in good faith the certification required by this clause. The knowledge and information of a participant is not required to exceed that which is normally possessed by a prudent person in the ordinary course of business dealings.

9. Except for transactions authorized under paragraph five of these instructions, if a participant in a covered transaction knowingly enters into a lower tier covered transaction with a person who is proposed for debarment under 48 CFR part 9, subpart 9.4, suspended, debarred, ineligible, or voluntarily excluded from participation in this transaction, in addition to other remedies available to the Federal Government, the department or agency with which this transaction originated may pursue available remedies, including suspension and/or debarment.

**Certification Regarding Debarment, Suspension, Ineligibility and Voluntary Exclusion - -
Lower Tier Covered Transactions**

(1) The prospective lower tier participant certifies, by submission of this proposal, that neither it nor its principals is presently debarred, suspended, proposed for debarment, declared ineligible, or voluntarily excluded from participation in this transaction by any Federal department or agency.

(2) Where the prospective lower tier participant is unable to certify to any of the statements in this certification, such prospective participant shall attach an explanation to this proposal.

15.3. Debarment

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

CERTIFICATION REGARDING ENVIRONMENTAL TOBACCO SMOKE

Public Law 103227, Part C Environmental Tobacco Smoke, also known as the Pro Children Act of 1994, requires that smoking not be permitted in any portion of any indoor routinely owned or leased or contracted for by an entity and used routinely or regularly for provision of health, day care, education, or library services to children under the age of 18, if the services are funded by Federal programs either directly or through State or local governments, by Federal grant, contract, loan, or loan guarantee. The law does not apply to children's services provided in private residences, facilities funded solely by Medicare or Medicaid funds, and portions of facilities used for inpatient drug or alcohol treatment. Failure to comply with the provisions of the law may result in the imposition of a civil monetary penalty of up to \$1000 per day and/or the imposition of an administrative compliance order on the responsible entity by signing and submitting this application the applicant/grantee certifies that it will comply with the requirements of the Act.

The applicant/grantee further agrees that it will require the language of this certification be included in any subawards which contain provisions for the children's services and that all subgrantees shall certify accordingly.

15.4. Environmental Tobacco Smoke

After assurance select a check box:



By checking this box, the State CSBG authorized official is providing the certification set out above.

THE PAPERWORK REDUCTION ACT OF 1995 (Pub. L. 104-13)

Public reporting burden for this collection of information is estimated to average 10 hours per response, including the time for reviewing instructions, gathering and maintaining the data needed, and reviewing the collection of information.

An agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a currently valid OMB control number.